



An Equal Opportunity/Affirmative Action Employer

Announcement of Intention to Fill a Job Vacancy

Assistant Team Leader (Director Financial Services Programs 1, SG-31)

Location: One State Street, New York City

Business Unit: Foreign and Wholesale Banks

Negotiating Unit: Professional, Scientific and Technical (PEF)

Please note that a change in negotiating unit may affect your salary, insurance and other benefits.

Salary: The starting salary for this position is \$123,721 with periodic increases up to \$150,612.

Positions located within the New York City metropolitan area, as well as Suffolk, Nassau, Rockland, and Westchester Counties, are also eligible to receive an additional \$3,087 annual downstate adjustment.

Appointment Status: Permanent

Appointment to this position is pending Governor Appointment's Office and Division of Budget approval.

The New York State Department of Financial Services seeks to build an equitable, transparent, and resilient financial system that benefits individuals and supports business. Through engagement, data-driven regulation and policy, and operational excellence, the Department and its employees are responsible for empowering consumers and protecting them from financial harm; ensuring the health of the entities we regulate; driving economic growth in New York through responsible innovation; and preserving the stability of the global financial system.

The Department of Financial Services is seeking candidates for the position of Assistant Team Leader in the Foreign and Wholesale Banks Unit. Duties include, but are not limited to, the following:

- Serves as Examiner in Charge in the examination of medium and large sized institutions with the responsibility for planning, and organizing examinations, and assigning key subordinate examiners to specific segments of the examination (e.g., loan review, earnings, liquidity analysis, capital, Bank Secrecy Act/Anti-Money Laundering, systems and technology, loss mitigation etc.);
- Prepares the risk assessment, risk matrix, staff utilization schedule, and the examination scope and procedures based upon the institution's risk profile, information in the previous examination report, workpapers, correspondence, internal departmental memoranda and directives from Department management;
- Monitors examination progress and provides guidance to subordinates and adheres to time schedules;
- Reviews the assignments of assisting examiners, providing constructive critical analysis of their work;
- May act as the relationship manager for a portfolio of large institutions;
- Reviews and analyzes all examination report schedules, supporting comments and workpapers submitted by assisting examiners, and statements made by branch or agency employees, to identify any risks present which may impact the branch or agency;
- Oversees the completion of individual report schedules and their assembling into a coherent examination report;
- Submits an accurate, comprehensive report of examination of the financial condition of the entity, complete with narrative and analytical presentations on the various operations of the institution, with suggestions or recommendations to the senior management team and board of directors on corrective measures that need to be taken;

- Reviews apparent violations of law or regulation, discusses each case with assisting examiners and institution management, determines what documents and records should be assembled to complete a review and analysis and, if necessary, asks for and reviews the opinion of institution counsel;
- Reviews with management significant examination findings and conclusions; suggests and explores practicable approaches to correct deficiencies;
- Processes, analyzes and recommends action on complex corporate actions submitted for approval by institutions;
- Analyzes applications for various actions by conferring with principals of the institutions involved, reviewing plans, evaluating financial data and all legal and financial requirements;
- Prepares studies and special projects for the Superintendent and Deputy Superintendent on various topics by establishing objectives, developing parameters, conducting research, conferring with appropriate individuals and preparing the final draft of position papers and studies;
- Acts as liaison to, and meets with, Federal and State regulatory authorities and industry groups on legal and accounting matters affecting supervised institutions;
- Addresses potentially critical and highly controversial issues affecting the banking industry, and provides guidance to subordinate examiners;
- Recommends administrative actions, fines, penalties or suspension or revocation licenses or charters where circumstances warrant; and
- Prepares responses for special projects as requested by the Superintendent or Division head.

Preferred Qualifications

- Prior experience acting as an examiner in charge utilizing bank regulatory safety and soundness rating systems such as Capital, Asset Quality, Management, Earnings, Liquidity, and Sensitivity (CAMELS), Risk Management, Operational Controls, Compliance, and Asset Quality (ROCA) or Functional Integrated Library Management System (FILMS).
- Experience with and strong knowledge of bank examination policies and procedures.
- Demonstrated ability to manage a large volume of tasks and functions in an organized manner.
- Ability to produce a consistently clear, neat and concise work product.
- Proven desire to develop and upgrade skills and accept new challenges and responsibilities.
- Ability to understand and clearly articulate complex risks and inform supervisors appropriately.

Appointment method:

Candidates must meet the minimum qualifications listed below in order to be eligible for appointment.

Non-Competitive: A Bachelor's Degree in accounting, actuarial sciences, auditing, banking, business, business administration, business and technology, commerce, computer information systems, computer science, consumer sciences, criminal justice, cyber security, econometrics, economics, finance, financial administration, health, health administration, information systems, information systems engineering, information technology, internal controls, international or public affairs, law, market analysis, mathematics, public administration, public policy, risk management, statistics, taxation, or technology and seven (7) years of financial services experience with: 1) a regulated entity who has a regional, national and/or international presence; or 2) a governmental regulatory entity. This experience must include practical and technical knowledge about State, federal and/or international financial services laws, rules and regulations. Two (2) years of the experience must have been at a managerial level.

Substitutions: A J.D. or a Master's Degree may substitute for one (1) year of specialized experience; and a Ph.D. may substitute for two (2) years of specialized experience.

To Apply: Interested qualified candidates must submit a resume and letter of interest **no later than October 13, 2023** to the email address listed below. Please include the Box # **(Box ATL-DFSP1-10003)** in the subject line of your email to ensure receipt of your application. **Email submissions are preferred.**

Cynthia Gavin
Box ATL-DFSP1-10003
New York State Department of Financial Services
Office of Human Resources Management
One Commerce Plaza, Suite 301
Albany, NY 12257
Email: NCE.Notifications@dfs.ny.gov
Fax: (518) 402-5071

All candidates that apply may not be scheduled for an interview

Public Service Loan Forgiveness

Employment with New York State qualifies an individual for Public Service Loan Forgiveness (PSLF). This program forgives the remaining balance on any Direct Student Loans after you have made 120 qualifying monthly payments while working full-time for a U.S. federal, state, local, or tribal government or not-for-profit organization. To learn more about the program and whether you would qualify, please visit: <https://studentaid.gov/manage-loans/forgiveness-cancellation/public-service>

AMERICANS WITH DISABILITIES ACT: REASONABLE ACCOMMODATIONS

Under the Americans with Disabilities Act (ADA), the Department of Financial Services is required to provide reasonable accommodation for known physical or mental limitations of an otherwise qualified applicant with a disability if an accommodation would enable the applicant to perform the essential functions of the job. If the accommodation would constitute an undue hardship on the operations of the agency, the agency is not required to provide it.

Pursuant to Executive Order 161, no State entity, as defined by the Executive Order, is permitted to ask, or mandate, in any form, that an applicant for employment provide his or her current compensation, or any prior compensation history, until such time as the applicant is extended a conditional offer of employment with compensation. If such information has been requested from you before such time, please contact the Office of Employee Relations at (518) 473-3130 or via email at response@oer.ny.gov.